



Environmental Management Consolidated Business Center (EMCBC)

Subject: DOE-EMCBC - Oversight Plan

Policies, Procedures
and Plans

APPROVED: (Signature on File)
EMCBC Director

1.0 PURPOSE

- 1.1 This plan provides direction for the US Department of Energy Environmental Management Consolidated Business Center (EMCBC) and the projects the EMCBC services for implementing US Department of Energy (DOE) Order 226.1, *Implementation of Department of Energy Oversight Policy*, and dated 09-15-05. This Plan establishes requirements for oversight of assurance systems, and processes established for DOE contractors and oversight programs performed by DOE line management and independent oversight organizations. The purpose of this plan is to ensure that contractor assurance systems and DOE oversight programs are comprehensive and integrated for all aspects of operations essential to mission success

2.0 SCOPE

- 2.1 The scope of this plan includes assurance systems implemented by organizations that manage, oversee operations, or operate on DOE sites; oversight programs implemented by DOE line management; and DOE independent oversight organizations.

3.0 APPLICABILITY

- 3.1 This plan applies to EMCBC and sites serviced by EMCBC (if they adopt this plan). Serviced sites may elect to implement their own DOE line management oversight processes or supplement this Plan through the development of project management plans or similarly titled documents.
- 3.2 Other independent oversight organizations may use or refer to this plan when conducting oversight of the EMCBC or it serviced sites.

4.0 REQUIREMENTS AND REFERENCES

4.1 REQUIREMENTS:

- 4.1.1 DOE P 226.1A (Policy, 05/25/2007) Department of Energy Oversight Policy
- 4.1.2 DOE O 226.1 (Order, 09/15/2005) Implementation of Department of Energy Oversight Policy

4.2 REFERENCES:

- 4.2.1 Issues/Action Management System (TBD)
- 4.2.2 Individual Site Contract Management Plans
- 4.2.3 EMCBC IP-230-01, Operating Experience/Lessons Learned – *under development*
- 4.2.4 EMCBC IP 243-03, Rev. 1, Identifying, Filing, and Maintaining Records.
- 4.2.5 EMCBC PS-243-01, Rev. 1, Records Management Policy
- 4.2.6 EMCBC IP-250-01, Rev 2, Preparation, Review, Approval, Revision, and Distribution of EMCBC Implementing Procedures, Policy Statements, and Program Descriptions
- 4.2.7 EMCBC IP-250-03, Document Control – *under development*
- 4.2.8 EMCBC PL-414-01, Quality Assurance Plan – *under development*
- 4.2.9 EMCBC IP-414-02, Rev. 1, Assessment Procedure

5.0 **DEFINITIONS**

- 5.1 **“Assurance systems”** encompass all aspects of the processes and activities designed to identify deficiencies and opportunities for improvement, report deficiencies to the responsible managers, complete corrective actions, and share in lessons learned effectively across all aspects of operation.
- 5.2 **“DOE Oversight”** encompasses activities performed by DOE organizations to determine whether Federal and contractor programs and management systems, including assurance and oversight systems are performing effectively and/or complying with DOE requirements. Oversight programs include operational awareness activities, onsite reviews, assessments, self-assessments, performance evaluations, and other activities that involve evaluation of contractor organizations and Federal organizations that manage or operate DOE sites, facilities, or operations.
- 5.3 **“Site programs”** refers to programs that protect the public, workers, environment, and national security interests or support essential mission activities. Site programs specifically include environment, safety, and health; safeguards and security; cyber security; emergency management; and business operations programs.

- 5.4 “Site management systems”** refers to required management systems that provide the framework for a set of related site programs. Site management systems specifically include Integrated Safety Management, Integrated Safeguards and Security Management, and Quality Assurance Programs.
- 5.5 “DOE line management”** refers to the management chain with responsibility for the site. This chain typically extends from the responsible site organization (e.g., site office or field office) to the responsible program office through the Under Secretary and ultimately to the Deputy Secretary and Secretary of Energy.
- 5.6 “Independent oversight”** refers exclusively to oversight by DOE or other independent organizations that do not have line management responsibility for the activity.
- 5.7 “Contractor assurance system”** encompasses all aspects of the activities designed to identify deficiencies and opportunities for improvement, report deficiencies to the responsible managers and authorities, and ensure that corrective and preventive actions are established and effectively implemented. These activities include assessments (including self-assessments, management assessments, and internal independent assessments as defined by laws, regulations, and DOE Orders), operational awareness activities (e.g., management walk-through), quality assurance programs, lessons-learned programs, accident investigations, worker feedback mechanisms, performance indicators/measures, event reporting processes, analysis of causes, identification of corrective actions and recurrence controls, corrective action tracking and monitoring, closure of corrective actions and verification of effectiveness, and analysis of trends.

6.0 RESPONSIBILITIES

6.1 EMCBC Director

- 6.1.1 Ensures contractor requirements document (CRD) Attachment 2, of DOE O 226.1 is incorporated into all DOE contracts pursuant to 48 FR 970.5204-2, “Laws, regulations, and DOE directives,” by notifying contracting officers of affected contracts.
- 6.1.2 Maintain appropriate qualification standards for personnel with oversight responsibilities and clear, unambiguous lines of authority and responsibility for oversight.
- 6.1.3 Establish and implement line management oversight programs and processes consistent with the requirements of this Procedure, to include Attachment 3 of DOE O 226.1, or comparably effective criteria established by the responsible program office.

- 6.1.4 Provide unfettered access to information and facilities to conduct an effective oversight program, consistent with applicable laws and requirements.
- 6.1.5 Use the results of DOE line and independent oversight and contractor assurance systems to make informed decisions about corrective actions and the acceptability of risks and to improve the effectiveness and efficiency of programs and site operations.

6.2 EMCBC Office of Logistics Management:

- 6.2.1 Is ultimately responsible for the development and maintenance of this Plan.
- 6.2.2 Coordinates any requested exemptions to or interpretations of this Plan with all other affected DOE elements to properly resolve the exemption/interpretation request.

6.3 Line Management and DOE Staff Performing Oversight Functions:

- 6.3.1 Plan and implement oversight processes for their areas of responsibility.

7.0 GENERAL INFORMATION

Attributes of an effective oversight process incorporates the following attributes of oversight as appropriate:

- 7.1 Program Plan:** Documented program plans need to identify the program areas to be reviewed, the periodicity of reviews, the reviews necessary to maintain the baseline oversight program, the qualifications of review personnel, and the source of review criteria. Documented program plans need to describe the various oversight methods used, how they are used, and how the results of the various methods are integrated and considered as a whole to give an accurate oversight picture.
- 7.2 Continuous Improvement:** Assurance systems and oversight processes will identify ways to make programs more effective and efficient through improved performance and report such opportunities to line managers for their consideration. Line managers at all levels—from the Secretary of Energy to the DOE program office to the field element to the contractor—are responsible for using the results of DOE line and independent oversight processes and assurance systems. These results are to be used to make informed decisions about corrective actions that will improve the effectiveness and efficiency of their programs and operations and about the acceptability of residual risks. The use of external, nationally recognized experts should be considered to carry out independent risk and vulnerability studies and to validate that contractor management systems meet applicable standards.

DOE sites and DOE line management must have effective processes for communicating issues up the management chain to senior management using a graded approach that considers hazards and risks. The processes must provide sufficient technical basis to allow managers to make informed decisions. Processes for resolving disputes about oversight findings and other significant issues shall also be implemented and include provisions for independent technical reviews of significant issues.

- 7.3 Requirements and Performance Objectives:** DOE oversight programs and assurance systems will evaluate performance against requirements and performance objectives, which may include laws, regulations, national standards, DOE directives, DOE-approved plans and program documents (e.g., security plans, authorization basis documents, and quality assurance plans), site-specific procedures/manuals, criteria review and approach documents, other contractually mandated requirements, and contractual performance objectives. Requirements and performance objectives are established and interpreted through approved processes so that they are relevant to the site and mission.
- 7.4 Personnel Competence:** Personnel responsible for managing and performing assurance and oversight functions will possess experience, knowledge, skills, and abilities commensurate with their responsibilities. Line managers are responsible for ensuring that their personnel with oversight responsibilities meet applicable qualifications standards. Continuing training and professional development activities are encouraged to supplement individual experience and provide a means to maintain awareness of changes and advances in the various fields of expertise.
- 7.5 Baseline Oversight Program and Priorities:** Headquarters, field and contractor line management are responsible and accountable for establishing and implementing a baseline oversight program that provides for an adequate assessment of programs, management systems, and assurance systems. Clear and unambiguous lines of authority and responsibility for performing line management oversight functions will be established and maintained. Line management will provide its oversight processes with sufficient resources and access to conduct an effective oversight program. Site assurance systems and DOE oversight processes will be tailored to be effective and efficient and will take into account hazards and risks (including risks associated with potentially hazardous activities and risks to DOE missions including schedule, cost, and scope uncertainties). Oversight priorities are to be based on a systematic analysis of hazards, risks, and past performance of organizations, programs, and facilities, including previous assessment results. Higher hazard or risk activities (e.g., facilities with a higher nuclear material attractiveness level) and less mature programs will be assessed more frequently and/or in more depth. The scope and results of reviews by external regulators (e.g., the Environmental Protection Agency) and organizations (e.g., the Defense Nuclear Facilities Safety Board) are important factors in determining oversight priorities but are not a substitute for effective line management oversight.

- 7.6 DOE Headquarters and Field Element Line Management:** Regularly assess site assurance systems to determine the appropriate level of overlap and redundancy of DOE Headquarters and field element line management oversight. Accordingly, DOE line management organizations may increase their frequency and/or depth based on performance deficiencies or events or may decrease the frequency and/or depth of line management oversight assessments to reflect sustained effective site performance. Although external organization reviews and the effectiveness of assurance systems are considered in determining DOE line management oversight priorities and the scope and frequency of oversight activities, DOE line management must always maintain an adequate minimum baseline oversight program that enables DOE line management to understand the hazards and risks of activities.
- 7.7 Performance Indicators and Measures:** Performance indicators and measures will be used as one mechanism to help line management identify adverse trends and promote improvements. This data is considered in a variety of management decisions, such as allocating resources, establishing goals, identifying performance trends, identifying potential problems, and applying lessons learned and good practices. Site performance criteria will focus on results and system-based metrics to drive improvements in site programs and management systems at DOE sites.
- 7.8 Self-Assessments of Line Management Functions:** DOE Headquarters, field element and contractor line management must perform self-assessments of its activities, including its oversight activities and activities necessary to support site assurance and mission activities. Headquarters, field element, and contractor management organizations are responsible for establishing effective management assessments and line management oversight processes and to address shortcomings, identified through self-assessments, in their oversight programs.
- 7.9 Federal Responsibility and Accountability for Activities:** DOE line management will require that contracts adequately delineate contractor responsibilities for programs, management systems, and assurance programs. Contractors will be responsible under their contracts to provide these assurances. DOE line management and contractors may perform some assessments jointly to increase efficiency and promote common understanding of processes and results. However, DOE line management is responsible and accountable for understanding and accepting the hazards and risks associated with activities. To accomplish this, DOE has the right and responsibility to perform oversight at the level necessary to understand the hazards and risks, to ensure compliance with applicable requirements, to pursue excellence through continuous improvement, to ensure timely identification and correction of deficient conditions, and to verify the effectiveness of completed corrective actions.

8.0 **PROCEDURE**

REQUIREMENTS: DOE Headquarters and field element line management maintain sufficient knowledge of site and contractor activities to make informed decisions about hazards, risks and resource allocation, provide direction to contractors, and evaluate contractor performance. The effectiveness of contractor assurance systems, the hazards at the site/activity, and the degree of risk are factors in determining the scope and frequency of DOE line management assessments and operational awareness activities.

8.1 **DOE LINE MANAGEMENT OVERSIGHT**

DOE line management oversight requirements.

- Ensure contractor compliance with requirements. DOE line management must periodically examine contractor programs and their implementation at the work-activity level to assess that DOE requirements and external regulatory requirements are met effectively. Deficiencies must be brought to the attention of contractor management and addressed in a timely manner.
- Ensure the adequacy of contractor assurance systems. DOE line management must review contractor assurance systems periodically to gauge that contractors are assessing site activities adequately, self-identifying deficiencies, and taking timely and effective corrective actions.
- Evaluate contractor performance. DOE line management must periodically evaluate contractor performance in accordance with the provisions of their contracts.
- Ensure compliance with requirements applicable to DOE line management. DOE line management organizations must establish and implement oversight processes for monitoring their internal operations and completing required activities, such as reviewing and approving safety analysis reports and security plans, performing emergency management functions, adjudicating security clearances, implementing computer security programs at DOE office buildings, operating classified and sensitive information identification and protection programs, and operating employee concerns programs and other such functions.

Implementing Procedures and Documents:

- IP-414-02, Assessment Procedure
- PL-414-01, EMCBC Quality Assurance Plan
- EMCBC Issues/Action Management System

8.2 DOE LINE MANAGEMENT EXPECTATIONS

DOE line management must set expectations and communicate them to contractors. This will be implemented through formal contract mechanisms and direct communication between DOE and contractor managers.

- Particular attention must be devoted to ensuring that requirements and expectations are established in contractual documents, including performance indicators, measures, objectives, and criteria.
- Performance expectations must be established through the development and approval of required program documents for -
 - (a) quality assurance,
 - (b) integrated safety management (including the environmental management system),
 - (c) integrated safeguards and security management,
 - (d) cyber security,
 - (e) emergency management, and
 - (f) business operations.
- DOE line management must verify that plans submitted by contractors clearly delineate actions to be taken and describe programs that meet DOE requirements and expectations.
- Indicators and performance measures must be established and periodically reviewed by DOE line management and communicated to contractors to provide tools for monitoring performance in meeting expectations.
- In addition to collecting and analyzing long-term indicators of interest complex-wide, contractor-specific performance objectives and criteria and appropriate incentives must be identified and specified in contract documents. Objectives and criteria must be challenging and focused on improving performance in known areas of weakness.
- If the contractor assurance system is not adequate, DOE line management will provide direction to the contractor through such measures as contractual provisions and required program documents (e.g., quality assurance program).

Implementing Procedures and Documents:

- Individual Site Contract Management Plans
- PL-414-01, EMCBC Quality Assurance Plan
- EMCBC Issues/Action Management System

8.3 DOE LINE MANAGEMENT OVERSIGHT PROGRAM PLANNING

DOE Line Management Efficiency

To promote efficiency, DOE field organizations will perform most onsite operational awareness and assessment activities on behalf of the responsible DOE line management organization. However, DOE Headquarters, Field Managers, and support or EMCBC staff may conduct “for cause” reviews, reviews pursuant to other requirements in this Order, discretionary assessments, or provide support to field elements during assessments.

DOE Line Management Reporting

DOE line management must have effective processes for communicating line oversight results and other issues up the DOE line management chain, using a graded approach based on the hazards and risks. The processes must provide sufficient technical basis to allow senior DOE managers to make informed decisions and must include provisions for communicating and documenting dissenting opinions. Processes for resolving disputes about oversight findings and other significant issues must also be implemented and include provisions for independent technical reviews of significant issues.

DOE Field Line Management Review By DOE Headquarters Line Management

DOE Headquarters line management personnel must regularly review the results of DOE field organization oversight and other information to maintain awareness of site conditions and trends and to determine the effectiveness of field line management oversight processes. DOE Headquarters line management must establish appropriate oversight activities to review the adequacy of the scope and implementation of field office self-assessment activities, field office oversight activities, and field office assurance systems.

High Consequence Activities

Oversight of high consequence activities, such as high hazard nuclear operations, require additional rigor, such as instituting Central Technical Authorities (CTA) for core nuclear safety functions. Oversight of operations with the potential for high consequence events such as nuclear facilities and operations require additional oversight that must include Headquarters awareness and assessment activities. For high-consequence nuclear operations, the CTAs will maintain awareness of the content of applicable DOE line oversight programs, plans, and processes, and contractor assurance systems by monitoring, evaluation and trend analyses, and by participation in oversight activities. The CTAs will also maintain awareness of the state of implementation of these line management programs, plans, and processes, and contractor assurance systems by monitoring associated assessment reports. The CTA support staff will also conduct and participate in various DOE Headquarters line oversight review activities as defined in the associated Headquarters oversight programs. Based on these activities the CTA will

communicate identified issues and trends to line management, provide advice concerning technical solutions or options, and be able to follow up to ensure proper closure or implementation.

Documentation Review & Implementation Review Balance

The oversight program will provide a balance between reviews of documentation (e.g., plans, procedures, and records) and adequacy of implementation through performance tests and observation of actual work activities at the facilities.

System Evaluation & Implementation Review Balance

Oversight program activities will provide for a similar balance between evaluations of systems (such as the DOE integrated safety management system and integrated safeguards and security management system), programs (e.g., radiation protection), facilities, and implementation of individual elements of those systems (e.g., specific work activities).

Assessment Coordination

DOE line management oversight will coordinate assessment activities with site assurance system activities to promote efficient use of resources and may conduct some assessments jointly with contractors. However, DOE line management must maintain an adequate baseline oversight program that includes sufficient standalone assessments of contractor management systems and site programs.

Baseline Management Oversight Program

DOE line management (primarily through field organizations) will implement a baseline line management oversight program that focuses resources on selected assessments, operational awareness activities, performance measure monitoring and improvement, and assessment of assurance systems. For sites that need improvement in site programs, management systems, or assurance systems (e.g., insufficient rigor or comprehensiveness in existing systems), DOE line management will conduct more frequent assessments focusing on areas needing improvement.

Assurance Systems Overlap & Redundancy

DOE Headquarters and field element line management will regularly assess site assurance systems to determine the appropriate level of overlap and redundancy of DOE Headquarters and field element line management oversight. Accordingly, DOE line management organizations may increase their frequency and/or depth based on performance deficiencies or events or may decrease the frequency and/or depth of line management oversight assessments to reflect sustained effective site performance. Although external organization reviews and the effectiveness of assurance systems are considered in determining DOE line management oversight priorities and the scope and

frequency of oversight activities, DOE line management must always maintain an adequate minimum baseline oversight program that enables DOE line management to understand the hazards and risks of activities.

Objective Criteria for Effectiveness

The effectiveness of the contractor assurance system will be determined based on objective criteria. DOE line management will establish criteria for determining the effectiveness of site programs, management systems, and contractor assurance systems that include consideration of previous assessment results (internal and external), effectiveness of completed corrective actions, demonstrated success in self-identifying and correcting deficiencies, the existence of rigorous and well documented programs, and evidence of sustained management support for site programs, management systems, and assurance systems.

DOE Headquarters and Field Line Management

DOE Headquarters and field line management will establish documented program plans that describe their oversight activities and will develop an annual schedule of planned assessments and focus areas for operational awareness. Modifications to the schedule are expected in response to changing circumstances, but modifications are approved by DOE line management in accordance with defined processes.

Performance Evaluation

DOE oversight programs and assurance systems will evaluate performance against requirements and performance objectives to include laws, regulations, national standards, DOE directives, DOE-approved plans and program documents (e.g., security plans, authorization basis documents, and quality assurance program), site-specific procedures/manuals, criteria review and approach documents, other contractually mandated requirements, and contractual performance objectives. Requirements and performance objectives are established and interpreted through approved processes so that they are relevant to the site and mission.

Implementing Procedures and Documents:

- EMCBC Issues/Action Management System
- PL-414-01, EMCBC Quality Assurance Plan
- IP-230-01, Operating Experience/Lessons Learned
- IP-414-02, Assessment Procedure
- IP-250-03, Document Control
- PS-243-01, Records Management Policy

8.4 OVERSIGHT PROCESSES

8.4.1 OPERATIONAL AWARENESS ACTIVITIES

DOE line management, primarily through field organizations, must conduct routine day-to-day monitoring of work performance through facility tours/walk-throughs, work observation, document reviews, meeting attendance and participation, and ongoing interaction with contractor workers, support staff, and management.

- DOE line management must rigorously review and critique contractor processes and performance in identifying, evaluating, and reporting events and safety issues that are required to be reported by laws, regulations, or DOE directives to determine whether issues are properly screened, evaluated, and reported.
- DOE line management must evaluate and monitor the contractor evaluations and corrective actions for events and issues and assesses whether effective recurrence controls are identified and implemented.
- Operational awareness activities must be documented either individually or in periodic (e.g., weekly or monthly) summaries.
- Deficiencies in programs or performance identified during operational awareness activities must be communicated to the contractor for resolution through a structured issues management process, which can be managed by the DOE field organization or the contractor.

Implementing Procedures and Documents:

- IP-414-02, Assessment Procedure
- EMCBC Issues/Action Management System

8.4.2 ASSESSMENTS OF FACILITIES, OPERATIONS, & PROGRAMS

DOE line management must establish and implement assessment programs to determine contractor compliance with requirements.

- DOE line management assessments will be planned and scheduled based on requirements, analysis of hazards and risks, past performance, and effectiveness of contractor assurance systems for organizations, facilities, operations, and programs.
- In addition to scheduled assessments, “for cause” reviews will be performed when circumstances warrant (e.g., when events indicate degradation of a system).
- Assessments will be performed in support of facility startup and restart or review and will review and approve required program documents (e.g., authorization basis documents).
- Assessments must include reviews of site qualification standard programs, training programs, and individual training and qualifications as they relate to environment, safety, and health; safeguards and security; emergency management; cyber security; and business practices.

- Assessment results, including findings, must be documented and provided to the contractor for timely resolution.
- Deficiencies identified by DOE assessments or other DOE reviews must be addressed in a structured issues management process. DOE verifies that contractor corrective actions are complete and effective in addressing deficiencies before they are closed out in the issues management system.
- DOE line management must maintain a baseline assessment program that provides assurance that DOE managers have an accurate picture of the status and effectiveness of site programs and that deficiencies are identified in a timely manner.
- DOE line management will perform “for cause” reviews and assessments in support of startup/restart and program document reviews as warranted.
- Oversight must include structured and rigorous processes for validating the accuracy of information collected during assessments. DOE line management requires that findings must be tracked and resolved through structured and formal processes, including provisions for review of corrective action plans.
- DOE line management must verify that corrective actions are complete and performed in accordance with requirements before findings identified by DOE assessments or reviews are closed, and requires that deficiencies are analyzed both individually and collectively to identify causes and prevent recurrences.

Implementing Procedures and Documents:

- IP-414-02, Assessment Procedure
- EMCBC Issues/Action Management System

8.4.3 ASSESSMENTS OF CONTRACTOR ASSURANCE SYSTEMS

DOE requires that contractor assurance systems address all organizations, facilities, and program elements.

- DOE line management must assess implementation and effectiveness of contractor assurance systems for environment, safety, and health; safeguards and security; emergency management; cyber security; and business practices systems and their sub-elements (e.g., radiation protection within environment, safety, and health) by examining the following:
 - (a) assessment methods (e.g., whether sufficient emphasis is placed on observation of work activities);
 - (b) the frequency, breadth, and depth of self-assessments;
 - (c) line management involvement in self-assessments;
 - (d) evaluators’ technical expertise and qualifications;
 - (e) the number and nature of findings identified; and
 - (f) the degree of rigor applied to self-assessment.

- DOE line management must regularly assess the effectiveness of contractor issues management and corrective action processes, lessons learned processes, and other feedback mechanisms (e.g., worker feedback). DOE line management must also evaluate contractor processes for communicating information, including dissenting opinions, up the management chain.
- DOE line management must validate that contractor corrective actions have been implemented and are effective in resolving deficiencies and preventing recurrence.
- DOE line management must also regularly assess the contractor's reporting processes and performance to assess that contractors meet reporting requirements for events and incidents of security, environment, safety, health, cyber security, and emergency management concern and take effective actions to prevent recurrence of deficiencies or findings.
- For sites where contractors report the results of performance measures to DOE (e.g., as part of a contractual provision), DOE must regularly assess the effectiveness of processes for collecting, evaluating, and reporting performance data to ascertain the accuracy, completeness, and validity of the performance measures.

Implementing Procedures and Documents:

- IP-414-02, Assessment Procedure
- EMCBC Issues/Action Management System

8.4.4 EVALUATIONS OF CONTRACTOR PERFORMANCE

As contracting officers, DOE line management must periodically evaluate contractor performance in meeting contractual requirements and expectations.

- A combination of DOE line management oversight, contractor self-assessments, and other performance indicators (e.g., performance measures and event reports) must be used to evaluate contractor performance.
- DOE line management must evaluate the effectiveness of management programs, including environment, safety, and health; safeguards and security; cyber security; emergency management; and business processes. Poor performance in these areas must have significant negative consequences on evaluations and fee determination. In accordance with contract provisions, evaluations must be used to reward significant accomplishments and/or performance improvements.
- Quantitative performance indicators and measures may be used to support the evaluation of a contractor; however, such indicators provide only a partial indication of system effectiveness and must be considered in combination with assessment results.
- Evaluations must be based on an analysis of the results of relevant information obtained or developed during the performance period, including contractual performance measures and objectives; DOE line management oversight, contractor

self-assessments, operational history/events, and reviews by DOE and external organizations.

Implementing Procedures and Documents:

- IP-414-02, Assessment Procedure
- EMCBC Issues/Action Management System

8.4.5 SELF-ASSESSMENTS OF DOE LINE MANAGEMENT FUNCTIONS & PERFORMANCE

DOE Headquarters and field organizations must have a structured, documented self-assessment program for environment, safety, and health; safeguards and security; cyber security; emergency management; and business operations to comply with DOE requirements. DOE organizations must perform self-assessments of programmatic and line management oversight processes and activities (e.g., security surveys, facility representative programs, personnel qualification standards, and training programs) to assess whether requirements and management expectations are met. The frequency of assessments of these functions must be commensurate with the hazards and risks related to the activity being assessed. Continuous improvement mechanisms (e.g., corrective action processes) must be in place to improve the effectiveness and efficiency of oversight programs and site operations.

Implementing Procedures and Documents:

- IP-414-02, Assessment Procedure
- EMCBC Issues/Action Management System
- IP-230-01, Operating Experience/Lessons Learned
- IP-414-02, Assessment Procedure

9.0 RECORDS MAINTENANCE

9.1 All records generated by this procedure shall be prepared, maintained, and stored in accordance with DOE O 200.1, Information Management Program.

9.2 All records are required to comply with the EMCBC IP 243-03, Identifying, Filing, and Maintaining Records.

10.0 FORMS USED

10.1 Attachment A: Corporate Activity Resource Request Form. This form addresses how EMCBC/SLA Sites FPD's request support from the EMCBC.

11.0 ATTACHMENTS

11.1 Attachment A - Corporate Activity Resource Request Form

11.2 Attachment B – IP-250-01-F3, Rev. 2, EMCBC Record of Revision

CORPORATE ACTIVITIY RESOURCE REQUEST

From:

Description of Task:

Deliverables:

Timeframe:

Project Description (assignment context) and Skill/Experience:

Activity/Task Supervisor:

Federal Project Director (if applicable):

Assignment Completion Evaluation

Employee Name:

Activity/Task:

Completion: ____ Yes ____ No

Timeframes Met: ____ Yes ____ No

Level of effort: ____ Outstanding ____ Very Good ____ Satisfactory ____ Unsatisfactory

Additional Comments:

On-Site Supervisor: _____

Date: _____

EMCBC RECORD OF REVISION

DOCUMENT

If there are changes to the controlled document, the revision number increases by one. Indicate changes by one of the following:

- I Placing a vertical black line in the margin adjacent to sentence or paragraph that was revised.
- I Placing the words GENERAL REVISION at the beginning of the text.

Rev. No.	Description of Changes	Revision on Pages	Date
1	Initial Plan	All	07/23/07

PROCEDURE CHANGE REQUEST	
DATE: <u>7/23/07</u>	
INITIATOR: <u>T. J. Jackson</u>	
INITIATOR PHONE NUMBER: <u>60077</u>	
DOCUMENT AFFECTED: _____	
SECTION: _____ PARAGRAPH #: _____	
IP NUMBER : _____ PARAGRAPH #: _____	
NEW IP: <u>PL-226-01</u>	
PROPOSED REVISION: _____ _____ _____	
JUSTIFICATION: <u>New Plan</u> _____ _____ _____	
Requested by: <u>T. J. Jackson</u>	DATE: _____
Approval: _____ Associate Director	DATE: _____
Assigned to: <u>Allan Harris</u>	DUE DATE: _____